



Att. Docket No. 074451.P127D3

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Edward L. Schwartz

Application No.: 09/800,831

Filed: 03/06/2001

For: Method And Apparatus For Selecting Layers For  
Quantization Based On Sideband Informaiton

Examiner: Ishrat I. Sherali

Art Unit: 2621

#13  
R  
4-20-04

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Applicant hereby requests consideration of the enclosed Information Disclosure Statement pursuant to 37 C.F.R §1.97(b). Attached is the PTO Form PTO/SB/08 (formerly PTO 1449) for the above-referenced application. The patents, publications, foreign patent documents, and non-patent literature documents were already filed with the USPTO from the parent application filed on February 15, 2001 (Serial No. 09/784,928). This previous application was relied upon from this earlier filing date under 35 U.S.C. §120. Per our recent telephone conversation, the non-patent literature documents are submitted herewith.

Pursuant to C.F.R. §1.98(d), copies of the references are not being provided herewith since they were previously sent to the Patent and Trademark Office. Please consider these cited documents in the currently pending §1.53(b) continuation application filed on March 6, 2001.

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on:

4/6/04

Date of Deposit  
Harleen Bains

Name of Person Mailing Correspondence

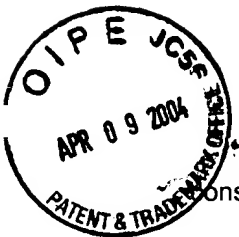
*H Bains*

Signature

4/6/04

Date

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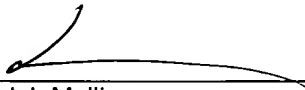


Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 4/6, 2004

  
Michael J. Mallie  
Reg. No. 36,591

12400 Wilshire Blvd.  
Seventh Floor  
Los Angeles, CA 90025-1026  
(408) 720-8300

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**FEE TRANSMITTAL FOR FY 2004**

(FY 2004 Begins 10/01/2003)

TOTAL AMOUNT OF PAYMENT (\$) 180.00

Complete if Known:

Application No. 09/800,831Filing Date 03/06/2001First Named Inventor Edward L. SchwartzExaminer Name Ishrat I. SheraliArt Unit 2621Attorney Docket No. 074451.P127D3**RECEIVED**

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Technology Center 2000

☐ Applicant claims small entity status. See 37 CFR 1.27.**METHOD OF PAYMENT** (check all that apply)☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None☒ Deposit AccountDeposit Account Number : 02-2666

Deposit Account Name: \_\_\_\_\_

☒ The Director is Authorized to do the following with respect to the above-identified Deposit Account:☐ Charge fee(s) indicated below.☒ Credit any overpayments.☒ Charge any additional fees during the pendency of this application.☒ Any concurrent or future reply that requires a petition for extension of time should be treated as incorporating an appropriate petition for extension of time and all required fees should be charged.☐ Charge fee(s) indicated below except for the filing fee.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
1001	770	2001	385	Utility application filing fee	_____
1002	340	2002	170	Design application filing fee	_____
1003	530	2003	265	Plant filing fee	_____
1004	770	2004	385	Reissue filing fee	_____
1005	160	2005	80	Provisional application filing fee	_____
SUBTOTAL (1) \$					_____

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

		Extra Claims	Fee from below	Fee Paid
Total Claims	_____	- 20** = _____	X _____	= _____
Independent Claims	_____	- 3** = _____	X _____	= _____
Multiple Dependent	_____		_____	= _____

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity		Small Entity		Fee Description
Code	Fee (\$)	Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ \_\_\_\_\_

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1813	8,800	1813	8,800	Request for inter parties reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	For filing a submission after final rejection (see 37 CFR 1.129(a))	
1814	110	2814	55	Statutory Disclaimer	
1810	770	2810	385	For each additional invention to be examined (see 37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	
1505	300	1505	300	Publication fee for republication	
1803	130	1803	130	Request for voluntary publication or republication	
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	
1454	1,330	1454	1,330	Acceptance of unintentionally delayed claim for priority	

Other fee (specify) \_\_\_\_\_

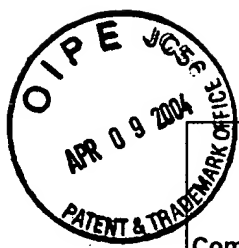
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**SUBTOTAL (3) \$ 180.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Michael J. MallieSignature: \_\_\_\_\_ Date: 7/6/04Reg. Number: 36,591 Telephone Number: (408) 720-8300

Send to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

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First Named Inventor Edward L. Schwartz  
Examiner Name Ishrat I. Sherali  
Art Unit 2621  
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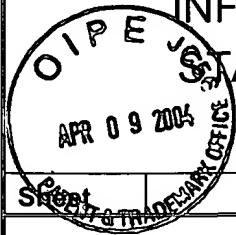
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## INFORMATION DISCLOSURE

## STATEMENT BY APPLICANT

(use as many sheets as necessary)



## Complete if Known

Application Number	09/800,831
Filing Date	03/06/2001
First Named Inventor:	Edward L. Schwartz
Art Unit	2621
Examiner Name	Ishrat I. Sherali
Attorney Docket Number	074451.P127D3

Sheet 1 of 8

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)				
		US-	3,580,655	5/25/1971	Leith et al.	
		US-	3,950,103	4/13/1976	Schmidt-Weinmar	
		US-	4,136,954	1/30/1979	Jamieson	
		US-	4,155,097	5/15/1979	Lux	
		US-	4,190,861	2/26/1980	Lux	
		US-	4,223,354	9/16/1980	Noble et al.	
		US-	4,393,456	7/12/1983	Marshall, Jr.	RECEIVED  APR 12 2004  Technology Center 2600
		US-	4,437,087	3/13/1984	Petr	
		US-	4,569,075	2/4/1986	Nussbaumer	
		US-	4,599,567	7/8/1986	Goupillaud et al.	
		US-	4,652,881	3/24/1987	Lewis	
		US-	4,663,660	5/5/1987	Fedele et al.	
		US-	4,674,125	6/16/1987	Carlson et al.	
		US-	4,701,006	10/20/1987	Perlmutter	
		US-	4,751,742	6/14/1988	Meeker	
		US-	4,760,563	7/26/1988	Beylkin	
		US-	4,785,348	11/15/1988	Fonsalas et al.	
		US-	4,785,349	11/15/1988	Keith et al.	
		US-	4,799,179	1/17/1989	Masson et al.	
		US-	4,805,129	2/14/1989	David	
		US-	4,815,023	3/21/1989	Arbeiter	
		US-	4,817,182	3/28/1989	Adelson et al.	
		US-	4,821,223	4/11/1989	David	
		US-	4,827,336	5/2/1989	Acampora et al.	
		US-	4,829,378	5/9/1989	Le Gall	
		US-	4,837,517	6/6/1989	Barber	
		US-	4,839,889	6/13/1989	Gockler	
		US-	4,858,017	8/15/1989	Torbey	
		US-	4,864,398	9/5/1989	Avis et al.	
		US-	4,868,868	9/19/1989	Yazu et al.	
		US-	4,881,075	11/14/1989	Weng	
		US-	4,894,713	1/16/1990	Delogne et al.	
		US-	4,897,717	1/30/1990	Hamilton et al.	
		US-	4,899,147	2/6/1990	Schiavo et al.	
		US-	4,904,073	2/27/1990	Lawton et al.	
		US-	4,918,524	4/17/1990	Ansari et al.	
		US-	4,922,544	5/1/1990	Stansfield et al.	
		US-	4,929,223	5/29/1990	Walsh	
		US-	4,929,946	5/29/1990	O'Brien et al.	
		US-	4,936,665	6/26/1990	Whitney	
		US-	4,973,961	11/27/1990	Chamzas et al.	
		US-	4,974,187	11/27/1990	Lawton	
		US-	4,982,283	1/1/1991	Acampora	

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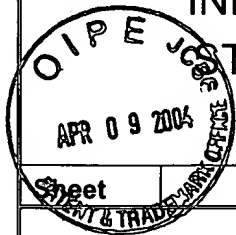
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## INFORMATION DISCLOSURE

## STATEMENT BY APPLICANT

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Sheet

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		Number-Kind Code <sup>2</sup> (If known)				
		US-	4,985,927	1/15/1991	Norwood et al.	
		US-	4,987,480	1/22/1991	Lippman et al.	
		US-	4,999,705	3/12/1991	Puri	
		US-	5,000,183	3/19/1991	Bonnefous	
		US-	5,001,764	3/19/1991	Wood et al.	
		US-	5,014,134	5/7/1991	Lawton et al.	RECEIVED
		US-	5,018,210	5/21/1991	Merryman et al.	
		US-	5,049,992	9/17/1991	Citta et al.	APR 1 <sup>st</sup> 2004
		US-	5,049,993	9/17/1991	Le Gall et al.	
		US-	5,068,911	11/26/1991	Resnikoff et al.	Technology Center 2600
		US-	5,072,308	12/10/1991	Lin et al.	
		US-	5,073,964	12/17/1991	Resnikoff	
		US-	5,081,645	1/14/1992	Resnikoff et al.	
		US-	5,095,447	3/10/1992	Manns et al.	
		US-	5,097,261	3/17/1992	Langdon, Jr. et al.	
		US-	5,097,331	3/17/1992	Chen et al.	
		US-	5,101,280	3/31/1992	Moronaga et al.	
		US-	5,101,446	3/31/1992	Resnikoff et al.	
		US-	5,103,306	4/7/1992	Weiman et al.	
		US-	5,109,451	4/28/1992	Aono et al.	
		US-	5,121,191	6/9/1992	Cassereau et al.	
		US-	5,124,930	6/23/1992	Nicholas et al.	
		US-	5,128,757	7/7/1992	Citta et al.	
		US-	5,128,791	7/7/1992	Le Gall et al.	
		US-	5,148,498	9/15/1992	Resnikoff et al.	
		US-	5,152,953	10/6/1992	Ackermann	
		US-	5,156,943	10/20/1992	Whitney	
		US-	5,173,880	12/22/1992	Duren et al.	
		US-	5,182,645	1/26/1993	Breeuwer et al.	
		US-	5,223,926	6/29/1993	Stone, et al.	
		US-	5,235,434	8/10/1993	Wober	
		US-	5,241,395	8/31/1993	Chen	
		US-	5,262,958	11/16/1993	Chui et al.	
		US-	5,276,525	1/4/1994	Gharavi	
		US-	5,315,670	5/24/1994	Shapiro	
		US-	5,321,776	6/14/1994	Shapiro	
		US-	5,335,016	8/2/1994	Nakagawa	
		US-	5,347,479	9/13/1994	Miyazaki	
		US-	5,349,348	9/20/1994	Anderson et al.	
		US-	5,379,355	1/3/1995	Allen	
		US-	5,381,145	1/10/1995	Allen et al.	
		US-	5,384,869	1/24/1995	Wilkinson et al.	
		US-	5,412,741	5/2/1995	Shapiro	

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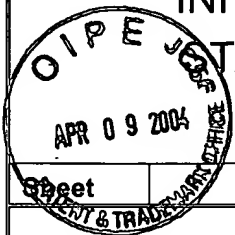


Substitute for Form 1449/PTO

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(use as many sheets as necessary)



Sheet

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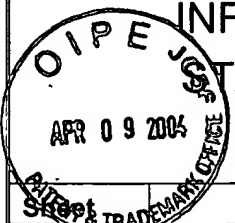
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		US-	5,414,780	5/9/1995	Carnahan	
		US-	5,416,604	5/16/1995	Park	
		US-	5,420,891	5/30/1995	Akansu	
		US-	5,453,945	9/26/1995	Tucker et al.	
		US-	5,455,874	10/3/1995	Ormsby et al.	RECEIVED
		US-	5,481,308	1/2/1996	Hartung et al.	
		US-	5,495,292	2/27/1996	Zhang et al.	APR 12 2004
		US-	5,497,435	3/5/1996	Berger	
		US-	5,511,151	4/23/1996	Russell et al.	Technology Center 2600
		US-	5,534,925	7/9/1996	Zhong	
		US-	5,537,493	7/16/1996	Wilkinson	
		US-	5,541,594	7/30/1996	Huang et al.	
		US-	5,442,458	8/15/1995	Rabbani et al.	
		US-	5,546,477	8/13/1996	Knowles et al.	
		US-	5,563,960	10/8/1996	Shapiro	
		US-	5,566,089	10/15/1996	Hoogenboom	
		US-	5,602,589	2/11/1997	Vishwanath et al.	
		US-	5,631,977	5/20/1997	Koshi	
		US-	5,638,498	6/10/1997	Tyler et al.	
		US-	5,657,085	8/12/1997	Katto	
		US-	5,701,367	12/23/1997	Koshi et al.	
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 <h1>INFORMATION DISCLOSURE</h1> <h2>STATEMENT BY APPLICANT</h2> <p>(use as many sheets as necessary)</p>		Application Number	09/800,831	
		Filing Date	03/06/2001	
		First Named Inventor:	Edward L. Schwartz	
		Art Unit	2621	
		Examiner Name	Ishrat I. Sherali	
5	of	8	Attorney Docket Number	074451.P127D3

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)			
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)		Application Number	09/800,831	
		Filing Date	03/06/2001	
		First Named Inventor:	Edward L. Schwartz	
		Art Unit	2621	
Sheet 6 of 8		Examiner Name	Ishrat I. Sherali	
		Attorney Docket Number	074451.P127D3	
<b>NON PATENT LITERATURE DOCUMENTS</b>				
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published		T <sup>2</sup>
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